

		NOTES AND INSTRUCTIONS (A-K APPLY TO ALL FILINGS)	
	A	Required Filings Contact Person:	(a) Angel Toeppen 573-526-5001 questions regarding filings (b) Cindy Monroe 573-751-4362 questions regarding filings (c) Noland Stuecken 573-526-4986 questions regarding premium tax
	B	Mailing Address:	Missouri Department of Insurance (MDI) (a) 301 West High Street Room 530, Jefferson City, Mo 65101 (b) PO Box 690 Jefferson City Mo 65102-0690
	C	Mailing Address for Filing Fees:	Same as above
	D	Mailing Address for Premium Tax Payments:	Department of Revenue PO Box 898 Jefferson City, Missouri 65105-0898
	E	Delivery Instructions:	All filings must be post-marked by the due date If the due date falls on a weekend or holiday, the due date may be extended to the next business day
	F	Late Filings:	Companies will be charged \$100 per day per document for a late filing
	G	Original Signatures:	Original signatures required on all documents that require signatures
	H	Signature/Notarization/Certification:	(a) Document must be notarized (b) Document Must be a certified copy
	I	Amended Filings:	Amended items must be filed within 10 days of the amendment, along with an explanation of the amendment
	J	Exceptions from normal filings:	Extensions/Exemptions Domestic companies are required to request in writing for an extension/exemptions from a filing at least twenty days prior to the due date Foreign companies are required to request in writing twenty prior to date due date, along with a copy of the domestic states approval of such filing. The approval letter from MDI along with the barcode attached to it, should be filed on the due date of the filing Consolidated Audit Reports: Domestic and Foreign companies are required to request in writing for filing consolidated audit reports at least twenty days prior to the due date Foreign companies are required to attach a copy of the domestic states approval of such filing
	K	Bar Codes (State)	Please use barcodes provided by MDI K = both foreign and domestic or one of the following: (a) domestic companies only (b) foreign elect to file electronically (c) foreign elect to file hard copy
	L	NONE Filings:	If a company has nothing to report on a form, please indicate "NONE" and affix respective barcode if applicable and file on the due date
	M	Filings new, discontinued or modified materially since last year:	Signed Jurat Page for Foreign companies choosing to file electronically
	N	Report on Internal Controls by CPA	Need to be filed only if deficiencies on internal controls have been noted
	O	Form B & C	Pursuant to RSMo 382.100 and CSR 200-11.101 Filing Fee \$50.00
	P	Basket Clause	Pursuant to RSMo 376.307

**General Instructions
For Companies to Use Checklist**

Please Note: This state's instructions for companies to file with the NAIC are included in this Checklist. The NAIC will send mailing labels, and other information, to all companies but will not be sending their own checklist this year.

Electronic filing is intended to include filing via the Internet or filing via diskette with the NAIC. Companies that file with the NAIC via the Internet are not required to submit diskettes to the NAIC.

Column (1) (Checklist)

Companies may use the checklist to submit to a state, if the state requests it. Companies should copy the checklist and place an "x" in this column when mailing information to the state.

Column (2) (Line #)

Line # refers to a standard filing number used for easy reference. This line number may change from year to year.

Column (3) (Required Filings)

Name of item or form to be filed.

The **Annual Statement Electronic Filing** includes the annual statement data and all supplements due March 1, per the *Annual Statement Instructions*. This includes all detail investment schedules and other supplements for which the *Annual Statement Instructions* exempt printed detail.

The **March .PDF Filing** is the .pdf file for annual statement data, detail for investment schedules and supplements due March 1.

The **Risk-Based Capital Electronic Filing** includes all risk-based capital data.

The **Supplemental Electronic Filing** includes all supplements due April 1, per the *Annual Statement Instructions*.

The **Supplemental .PDF Filing** is the .pdf file for all supplemental schedules and exhibits due April 1.

The **Quarterly Statement Electronic Filing** includes the complete quarterly statement data.

The **Quarterly Statement .PDF Filing** is the .pdf file for quarterly statement data.

The **Combined Annual Statement Electronic Filing** includes the required pages of the combined annual statement and the combined Insurance Expense Exhibit.

The **Combined Annual Statement .PDF Filing** is the .pdf file for the Combined annual statement data and the combined Insurance Expense Exhibit.

The **June .PDF Filing** is the .pdf file for the Audited Financial Statements.

Column (4) (Number of Copies)

Indicates the number of copies that each foreign or domestic company is required to file for each type of form. The Blanks (E) Task Force modified the 1999 *Annual Statement Instructions* to waive paper filings of certain NAIC supplements and certain investment schedule detail, if such investment schedule data is available to the states via the NAIC database. The checklists reflect this action taken by the Blanks (EX4) Task Force. XXX appears in the "Number of Copies" "Foreign" column for the appropriate schedules and exhibits. **Some states have chosen to waive printed quarterly and annual statements from their foreign insurers and to rely upon the NAIC database for these filings. This waiver could include supplemental annual statement filings. The XXX in this column might signify that the state has waived the paper filing of the annual statement and all supplements.**

Column (5) (Due Date)

Indicates the date on which the company must file the form.

Column (6) (Form Source)

This column contains one of three words: "NAIC," "State," or "Company." If this column contains "NAIC," the company must obtain the forms from the appropriate vendor. If this column contains "State," the state will provide the forms with the filing instructions. If this column contains "Company," the company, or its representative (e.g., its CPA firm), is expected to provide the form based upon the appropriate state instructions or the NAIC *Annual Statement Instructions*.

Column (7) (Applicable Notes)

This column contains references to the Notes to the Instructions that apply to each item listed on the checklist. The company should carefully read these notes before submitting a filing.